

12-20-01

**NON-PROVISIONAL
UTILITY PATENT APPLICATION
TRANSMITTAL - 37 CFR 1.53(b)**

A. Box 1/2eq
☐ Duplicate
(check, if applicable)

J1048 U.S. PTO
12/17/01

Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, DC 20231

Attorney Docket No. 053662-5002-01
First Named Inventor: Redei
Express Mail Label No. EL719362748US
Total Pages of Transmittal Form: 2

JC555 U.S. PTO
10/023335
12/17/01

Transmitted herewith for filing is the non-provisional utility patent application entitled:

**COMPOSITIONS AND METHODS USEFUL FOR TREATMENT OF
DEPRESSIVE DISORDER BASED ON AN ANIMAL MODEL**

which is:

an ☐ Original; or

a ☐ Continuation, ☐ Divisional, or ☒ Continuation-in-part (CIP)
of prior Application No. 09/590,837 filed June 9, 2000.

Anticipated Group/Art Unit: _____ or Class _____, Subclass _____.

Enclosed are:

- ☒ Specification (including Abstract) and claims: 53 pages.
- ☐ Application Data Sheet.
- ☒ Newly unexecuted Declaration (original/copy).
- ☐ Copy of Declaration from prior application.
- ☐ Separate Power of Attorney (including 37 CFR 3.73(b) statement, if applicable).
- ☒ 12 sheets of drawings (formal) plus one copy.
- ☐ Microfiche computer program (Appendix).
- ☒ Nucleotide and/or Amino Acid Sequence Submission, including:
 - ☒ Computer readable copy ☒ Paper Copy ☒ Verified Statement.
- ☐ Under PTO-1595 Cover Sheet, an assignment of the invention
- ☒ Name of Assignee: Northwestern University
- ☐ Certified copy(ies) of _____ Application No(s). _____ filed _____ is/are filed:
 - ☐ herewith or ☐ in prior application &@.
- ☒ Applicant(s), by its/their undersigned attorney, claim(s) Small Entity Status under 37 C.F.R. §1.27 as ☐ an Independent Inventor, or ☐ a Small Business Concern, or ☒ a Non-Profit Organization.
- ☐ Preliminary Amendment.
- ☐ Information Disclosure Statement, PTO-1449, and cited references.
- ☐ Request for Nonpublication of Application Under 35 U.S.C. §122(b)
- ☒ Other: copy of 2 month extension of time in the parent Patent Application 09/590,837.

The filing fee is calculated as follows:

			SMALL ENTITY			LARGE ENTITY	
CLAIMS	NO. FILED	NO. EXTRA	BASIC FEE:			BASIC FEE:	
			\$370			\$740	
Total	63-20 =	43	X9	\$387.00	OR	X18	\$
Independent	12- 3=	9	X42	\$378.00	OR	X84	\$
<input type="checkbox"/> Multiple Dependent Claims Present			\$140	\$	OR	\$280	\$
			TOTAL	\$ 1135.00	OR	TOTAL	\$

- ☐ **The Commissioner is not authorized to charge the filing fee at this time as we elect to defer payment of the entire filing fee until receipt of a Notice to File Missing Parts.**
- ☒ A check in the amount of \$1135.00 to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and/or credit **Deposit Account No. 50-0310 (Billing No. 053662-5002-01)** as noted below. A duplicate copy of this sheet is enclosed.
- ☒ Any overpayments or deficiencies in the above-calculated fee.
- ☐ Filing fee in the amount of \$ _____ as calculated above.
- ☒ Any additional fees required under 37 C.F.R. § 1.16 and § 1.17.
- ☒ In the event that a Petition for Extension of Time is required during the prosecution of this application, but not submitted, please charge any extension fee under 37 C.F.R. § 1.136(a) to our Deposit Account noted above.

CORRESPONDENCE ADDRESS:

December 17, 2001
(Date)

By:

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KD/kck
Enclosures

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EXPRESS MAIL NUMBER: EL719362748US

**PATENT
BOX SEQUENCE**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re:	Patent Application of Redei, <i>et al.</i>	: Group Art Unit: NOT YET : ASSIGNED :
Appln. No:	NOT YET ASSIGNED	: Examiner: NOT YET ASSIGNED :
Filed:	December 17, 2001	: :
Title:	COMPOSITIONS AND METHODS USEFUL FOR TREATMENT OF DEPRESSIVE DISORDER BASED ON AN ANIMAL MODEL	: Attorney Docket : No. 053662-5002-01 : : :

**STATEMENT TO SUPPORT FILING AND SUBMISSION
IN ACCORDANCE WITH 37 CFR §§ 1.821 THROUGH 1.825**

- (X) I hereby state, in accordance with the requirements of **37 C.F.R. §1.821(f)**, that the contents of the paper and computer readable copies of the Sequence Listing, submitted in accordance with **37 C.F.R. §1.821(c)** and **(e)**, respectively are the same.
- () I hereby state that the submission filed in accordance with **37 C.F.R. §1.821(g)** does not include new matter.
- () I hereby state that the submission filed in accordance with **37 C.F.R. §1.821(h)** does not include new matter or go beyond the disclosure in the international application as filed.
- () I hereby state that the amendments, made in accordance with **37 C.F.R. §1.825(a)**, included in the initial/substitute sheet(s) of the Sequence Listing are supported in the application, as filed, at Figure 10. I hereby state that the substitute sheets(s) of the Sequence Listing do not include new matter.
- () I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 C.F.R. §1.825(b)**, is the same as the amended Sequence Listing.

- () I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(d), contains identical data to that originally filed.

Respectfully submitted,

Redei, *et al.*

December 17, 2001
(Date)

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Enclosures